

FORM PTO-1390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

hunteb01.007

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/018696

INTERNATIONAL APPLICATION NO.

PCT/US01/00636

INTERNATIONAL FILING DATE

9 JAN 2001

PRIORITY DATE CLAIMED

10 JAN 2000

TITLE OF INVENTION

Resource allocation techniques

APPLICANT(S) FOR DO/EO/US

Brian A. Hunter, Soulaymane Kachani

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). Copy of declaration filed in PCT/US01/00636
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. Assignment filed in PCT/US01/00636
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

Copy of Notice of Missing Requirements; response to the NMP; check for \$27.00;
copy of Declaration and assignment filed in PCT/US01/00636; return postcard

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21. ☐ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO. \$1000.00International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$860.00International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	47 - 20 =	27	x \$18.00	\$
Independent claims	3 - 3 =	0	x \$80.00	\$
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$
TOTAL OF ABOVE CALCULATIONS =				\$

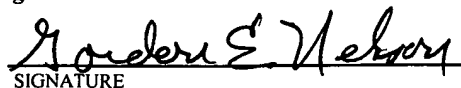
☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2. +**SUBTOTAL =**Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).**TOTAL NATIONAL FEE =**Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +**TOTAL FEES ENCLOSED =**Amount to be
refunded: \$

charged: \$

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☐ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 501,315. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Gordon E. Nelson, Patent Attorney, PC
57 Central St., P.O. Box 782,
Rowley, MA 01969
SIGNATURE

Gordon E. Nelson

NAME

30,093

REGISTRATION NUMBER

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Strategic Capital Network, LLC

Paper No.:

Application No: 10/018,696

Group Art Unit:

Filed: 1/10/2000

Examiner: Karen R. McLean

Title: *Resource Allocation Techniques*

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Assistant Commissioner for Patents
Washington, DC 20231

Response to Notification of Missing Requirements

This is in response to a Notification of Missing Requirements mailed 4/30/2002, confirmation no. 5130, which we received in the above application, which is the U.S. national stage of PCT/US01/00636. The Notice indicated that the missing requirements were the following:

- additional claim fees in the amount of \$27.00.
- a declaration of the inventors.

Included with this response are the following:

- a check in the amount of \$27 for the additional claim fees; and
- a copy of the papers filed 2/26/01 in the PCT application, together with a copy of the express mail label used in the filing and a copy of the date-stamped return postcard that we received from the PTO.

Included in these papers is an executed U.S. declaration.

06/25/2002 SHAJARRO 00000022 10018696

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27.00 0P

Applicants have thus provided the missing requirements and respectfully submit that Examiner pass the application to examination. Should any additional fees be required, please charge them to Deposit Account number 501315. Any overpayment should further be credited to that account.

Respectfully submitted,

Gordon E Nelson

Attorney of record,

Gordon E. Nelson

57 Central St., P.O. Box 782

Rowley, MA, 01969,

Registration number 30,093

Voice: (978) 948-7632

Fax: (866) 723-0359

6/13/02
Date

Certificate of Mailing

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Assistant Commissioner for Patents

Washington, D.C. 20231

on 6/13/02
(Date)

Gordon E. Nelson, #30,093

Gordon E Nelson
(Signature)



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

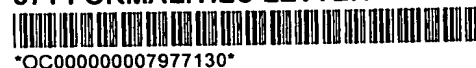
U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/018,696	Brian A Hunter	hunzeb01.007

Gordon E Nelson
Patent Attorney, PC
57 Central Street
P O Box 782
Rowley, MA 01969

INTERNATIONAL APPLICATION NO.	
PCT/US01/00636	
I.A. FILING DATE	PRIORITY DATE
01/09/2001	01/10/2000

CONFIRMATION NO. 5130

371 FORMALITIES LETTER



OC000000007977130

Date Mailed: 04/30/2002

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Indication of Small Entity Status
- Priority Document
- Copy of IPE Report
- Copy of the International Application
- Copy of the International Search Report
- Request for Immediate Examination

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Additionally the following defects have been observed:

- Additional claim fees of \$27 as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are required.

due.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$27 for a Small Entity:

- Total additional claim fee(s) for this application is \$27
 - \$27 for 30 total claims over 20.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAREN R MCLEAN

Telephone: (703) 308-9117

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/018,696	PCT/US01/00636	hunzeb01.007

FORM PCT/DO/EO/905 (371 Formalities Notice)

BEST AVAILABLE COPY

GORDON E. NELSON, Patent Attorney 57 CENTRAL ST., P.O. BOX 782 ROWLEY, MA 01969		53 7058/2113	1447
		DATE	2/26/01
PAY TO THE ORDER OF	United States Patent & Trademark Office \$ 40.00		
part payment of			DOLLARS
IPSWICH SAVINGS BANK IPSWICH, MASSACHUSETTS 01938			
FOR	10.000000 of assignment for United States Patent		Gordon E. Nelson
⑆2⑆⑆370587⑆ 88⑆88695 6⑆ 1447			

To the Assistant Commissioner of Patents:

Dear Sir: Please stamp and return this postcard with the date of receipt of the following papers in : PCT/US01/00636, Hunter, et al., *Resource Allocation Techniques*, docket no: huntet01.002

- Transmittal Letter
- PCT Power of Attorney
- 4 Replacement Pages of Figures
- Assignment and cover sheet with check for \$40.00
- U.S. Declaration
- return postcard